

**LOUISIANA OFFICE OF FINANCIAL INSTITUTIONS  
SECURITIES DIVISION  
COMPLAINT FORM**

**NAME AND ADDRESS OF FIRM OR PERSON COMPLAINT IS AGAINST:**

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ Email: \_\_\_\_\_

**YOUR NAME AND ADDRESS:**

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ Email: \_\_\_\_\_

**TYPE OF COMPLAINT:**

Complaint against a Company or Firm ☐

Complaint against an Individual ☐

Other, please specify: \_\_\_\_\_

Date of Transaction: \_\_\_\_\_

Place of Transaction (Specify the States in which you and the salesman were located)

Witnesses to the Transaction: \_\_\_\_\_

State the type of investment involved (e.g. stock, note, limited partnership, etc. If you are not certain, describe on last page.) \_\_\_\_\_

- If you invested in stock or a bond, what was the name of the issuing corporation? \_\_\_\_\_
- If you invested in a note, who was the maker (Company or Individual) responsible for paying it? \_\_\_\_\_
- If you invested in a partnership, what was the name of that partnership? \_\_\_\_\_
- Other: \_\_\_\_\_

Amount involved in transaction: \_\_\_\_\_

Do you have and can you provide evidence of investment (front and back of checks; cashiers checks; money orders; etc.)? NO ☐ YES ☐

Did you sign any papers or documents? NO ☐ YES ☐ (If Yes, please attach copies of them.)

How did you first learn about this investment? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Have you complained to the Company or Firm? NO ☐ YES ☐ (If yes, to whom?)  
\_\_\_\_\_  
\_\_\_\_\_

What was the response? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

May we send a copy of your complaint to the firm or individual complained against?  
YES ☐ NO ☐

Does an attorney represent you in this matter? NO ☐ YES ☐

If YES, give Attorney's Name and Address:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Did you begin any legal action against this company? NO ☐ YES ☐

Explain \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are you willing to sign an affidavit or testify regarding your transaction with this  
Company? NO ☐ YES ☐

Specify other governmental or regulatory agencies contacted: \_\_\_\_\_  
\_\_\_\_\_

May we send a copy of your complaint to another governmental agency or regulatory  
body for review or investigation? NO ☐ YES ☐

Did you tape-record any of your conversations regarding the transaction(s)?  
NO ☐ YES ☐

Names, telephone number and/or addresses of any other known investors:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

[illegible]

Because the focus of an Office of Financial Institutions (OFI) securities investigation is regulatory in nature, and is designed to determine compliance with Louisiana's securities laws and regulation, you are encouraged to consider other means if you are seeking to recover money or securities. It is very important for you to understand that OFI staff is investigating your complaint from a regulatory perspective and with the protection of all investors in mind.

OFI staff cannot provide legal advice to you in connection with your complaint. Therefore, you may want to consult with an attorney if you are considering filing an arbitration, mediation, or private civil action.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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Securities Division  
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